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DD/S 68-6093

MEMORANDUM FOR: Colonel White

I agree with Bob Wattles' recommendation that we not change the format of the present Fitness Report system but that we strengthen pertinent parts of the form by changes in the accompanying instructions. Bob doesn't really mean in his paragraph 7(d) that he is working on a new Fitness Report. He and his people are working on a mechanic to identify at Fitness Report time those with high potential.

You may wish to make this an agenda item for the next Deputies' meeting along with Wattles' presentation of the study on Managing the Succession Problem (paragraph 7(d) of the attached memorandum.)

for R. L. Bannerman

Att: Memo dtd 22 Nov 68 for ExDir-Compt
fr D/Pers, subj: Proposed Revised
Fitness Reporting System
(DD/S 68-5771)

SA-DD/S DBP

Retyped O-ADD/S ms (5 Dec 68)

Rewritten: ADD/S:JWC:maq (9 Dec 68)

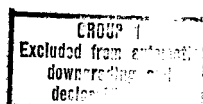
Distribution:

Orig - ExDir-Compt w/O & 5 ccys DD/S 68-5771

1 - DD/S Subject w/ccy DD/S 68-5771

1 - DD/S Chrono

MORI/CDF Pages 9 thru 12, 15
thru 23, 25 thru 30, 32 thru 34, &
37, 39 & 40



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Next 2 Page(s) In Document Denied

10 December 1968

Mr. Bannerman:

I held to get clarification on facts of para 7(d) from Personnel.

a. The study on Managing the Succession Problem is to be presented by Wattles at the next Deputies' meeting per Wattles' reflection of his agreement with Colonel White. No copies have been circulated and none will be distributed until after the oral presentation to the Deputies.

b. Personnel is not proposing in that study that the present Fitness Report should be replaced by a new document. They are working on another method for identifying at Fitness Report time those people who are "comers". OP doesn't have a firm document to show as yet.

I believe you should forward without any additional rework on OP memo.

Recommend your signature on informal memo to Colonel White.

John W. Coffey

*I understand Tomk asked OP about
"his" paper's status today & was told
the proposal was en route to G. H. H.*

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D 12/5 68-5771

22 NOV 1968

MEMORANDUM FOR: Executive Director-Comptroller
THROUGH: ^{SWO} Deputy Director for Support
SUBJECT: Proposed Revised Fitness Reporting System
REFERENCES: (a) Memo dtd 20 June 68 fr DD/S to D/Pers; same subj
(b) Memo dtd 13 Mar 68 fr D/Pers to Ex Dir-Compt; same subj

1. This memorandum submits recommendations for your approval; these recommendations are contained in paragraph 7.

2. Comments have now been received from all the Deputies and the Inspector General on the Deputy Director for Plans' proposal (Tab A) to revise the Fitness Report System. Summarized at Tab B, these comments show a definite reaction against the proposed changes with particularly strong objections registered against the change to a three-grade scale (Outstanding, Satisfactory, and Unsatisfactory), instead of the present five-grade scale for rating overall performance. The Deputy Director for Intelligence has submitted a counter proposal (Tab C) to divide the Fitness Report into two parts, leaving the present report essentially unchanged as a performance rating report with the second part containing an appraisal of those factors necessary for career management such as potential, intellectual and social talents, creativity and the like. This portion would not be shown to the individual.

3. My conclusion is that most of the changes to our Fitness Report System proposed by the DD/P are desirable except for the proposed change in rating scale, and with this exception, can be accomplished within the present format. I would reject the proposed change to the rating scale for a number of reasons.

a. The Agency's need is for more rather than fewer quality groupings. The difficulties at the career board level in ranking people is one example of this need.

b. The Professional Manpower Committee used a seven-point scale in evaluating approximately 1,700 young professionals in their study. Evidently they felt the need for more rather than fewer grading levels and the results are rather interesting as can be seen at Tab D. The Committee achieved a more desirable and useful distribution curve and one which drastically reduced the clustering of people at the "strong" level.

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GROUP 1
Excluded from automatic
downgrading and
declassification

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c. The vote of the other Deputies and the Inspector General is overwhelmingly against this change to the present five-point scale.

4. Other recommendations should be implemented and can be accomplished within the present system.

a. It would be very desirable to improve the role of the reviewing officer, as suggested in the DD/P proposal. The reviewing official might be required to include a brief evaluation of performance, potential, and future utilization. He can play a stronger part in resolving critical differences of opinion between the individual and the rater and between the rater and himself, particularly if the ratings are adversely critical. The ranking by the reviewing official as suggested in the DD/P proposal might be more difficult particularly in cases where the reviewing official has a limited number of people in a given grade.

b. The DD/P proposal that there be a performance consultation at least once a year as a separate transaction with certification that such a consultation has been held would seem to be an in-house practice which could be instituted by the Deputies within current Agency policy if they cared to do so.

c. The proposal to combine the revised rating scale with a descriptive rating of duties need not stand or fall on the adoption of the revised rating scale. My thought here is that the DD/P could adopt this recommendation on the basis of the present rating scale as an "in-house" requirement.

5. While the proposal for follow-up action on an overall rating of "Unsatisfactory" is no different to the present instructions for the rating of "Weak," the low usage rate in the present system for both the "Adequate" and "Weak" ratings reflects more on our supervisory practices than on the format. (Tab E) Nevertheless, the DD/P has a point to make when he says in his recommendation for a three-point scale that, "we would no longer have to struggle with the meaning of the marginal 'Adequate' in connection with initiating an adverse action." Furthermore, he is absolutely correct in stating that the present rating of Adequate does not provide a definable or defensible basis for taking adverse action; the definition of Adequate being, "performance meets all requirements. It is entirely satisfactory and is characterized neither by deficiency nor excellence." (Tab F) It seems to me that our scale is at fault in that it drops off too abruptly from Adequate which is an entirely satisfactory rating to Weak which is an unsatisfactory rating. I would propose to meet this valid criticism by redefining the Adequate rating to provide a better gradation in our present five-point scale even though this action may have some "after the fact" implications.

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6. The proposal to recognize an "Outstanding" rating in a positive manner by a Merit Award or Quality Step Increase, when combined with the proposed three-point scale, would accentuate the clustering of ratings to an even greater degree than at present with the result that just about everybody would be graded in the middle satisfactory grouping. However, the concept has merit with the present scale if left on a discretionary basis.

7. In summary, it appears to me that the DD/P proposal makes two solid points; namely, the indefinite role of the reviewing official and the deficiency of the gradations in the low end of the scale. I believe that the improvements that the DD/P seeks can be accomplished within the present format of our Fitness Report System without losing the continuity and understanding we now enjoy. Accordingly, it is proposed:

a. The present five-point rating scale be continued but that the rating of Adequate be redefined as follows,

"Performance meets most requirements. It is characterized neither by serious deficiency or excellence."

b. The role of the reviewing official be clarified by a change to the present Instructions whereby he would be responsible for narrative comment on potential and utilization and would be expected to comment on the liberality or the strictness of the rater where possible; and by a change to our Regulations by which the reviewing official would be responsible for resolving critical differences of opinion between the individual and the rater, particularly if the ratings are adversely critical.

c. That a formal period of instruction on Fitness Report responsibilities be made part of the supervision and management courses to the end that the fitness report serve the management reporting as well as the employee relations function.

d. That the DD/I proposal for a two-part report be deferred for the moment until the full implications of the study on Managing the Succession Problem be realized, since this study includes a similar proposal.

Very truly yours,

Robert S. Wattles
Director of Personnel

Atts

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The recommendations contained in paragraph 7 are approved.

L. K. White
Executive Director-Comptroller

Date

Distribution:

- 0 - Return to D/Pers
- 1 - ER
- 2 - DD/S
- 1 - D/Pers
- 1 - DD/Pers/P&C
- 1 - C/PAD/OP
- 2 - PAD (1 w/held)

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OP/PAD amb (18 Nov 68)

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- TAB A - DD/P Proposal for Revised Fitness Reporting System
- TAB B - Comments of the Deputy Directors and the Inspector General
- TAB C - The DD/I Counter Proposal
- TAB D - Professional Manpower Committee Ratings
- TAB E - Rating Distribution by Career Service
- TAB F - Fitness Report Form and Instructions

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A-T T

S-E-C-R-E-TProposal for a Revised Fitness Reporting System1. Background:

a. During the last twenty years the Agency, the Federal Government, and private industry have experimented with a great number of Fitness Report Forms and Systems. Much effort has been expended in analyzing the results achieved by existing systems, and attempting to correct weaknesses through the development of "improved" systems and procedures. Few tangible improvements have been realized, but there is a general and almost universal conclusion that Fitness Reporting must be continued for personnel management purposes, even though a truly satisfactory system has not emerged.

b. Within the Agency, Fitness Reports have been used to rate employee performance, personal traits, and potential by the use of:
(a) Adjective or numerical ratings, and (b) narrative evaluatory statements. General agreement exists that evaluatory statements have been more significant and have served better than adjective or numerical ratings in providing a picture of the individual and his manner of performance.

2. Evaluation of Current Fitness Reporting System:

a. Adjective Ratings: The current system uses five adjective ratings: Weak, Adequate, Proficient, Strong, and Outstanding, to appraise the performance of specific duties and overall performance. In practice, however, only three of the ratings are generally used: Proficient, Strong and Outstanding. The trend has been to use more of the higher ratings each year.

CS Career Service Fitness Reporting of Overall Performance

	<u>CS-9, 10, 11</u>		<u>CS-12-13</u>		<u>CS-14 & Above</u>
	<u>1962</u>	<u>1967</u>	<u>1962</u>	<u>1967</u>	<u>1967</u>
Weak	1%	0.1%	0.4%	0.1%	0.1%
Adequate	7%	2.0%	4.7%	0.5%	0.6%
Proficient	45%	23.0%	35.5%	18.7%	9.8%
Strong	42%	69.0%	55.9%	76.1%	71.8%
Outstanding	5%	6.0%	3.5%	4.6%	17.7%

S-E-C-R-E-T**GROUP I**

S-E-C-R-E-T

The foregoing indicates the increasing upward trend in the use of high ratings and the loss of significance of the five rating scale. Almost 90% of our GS-14 and above personnel are rated as performing above average (Proficient). At the same time, Adequate and Weak ratings have tended not only to fall into disuse but also to become substantially indistinguishable. In practice, a rating of "Adequate" does not provide a definable or defensible basis for taking adverse actions.

b. Narrative Ratings: The current Fitness Reporting system provides a narrative evaluation of total performance. Many raters provide a descriptive and meaningful evaluation which is useful for personnel management purposes; other narrative evaluations consist of generalizations and platitudes and do not evaluate in specific terms characteristics of the individual or his performance. Improved guidelines to structure the narrative content of the evaluation should provide more useful and consistent reports.

3. Suggested Revision of the Fitness Reporting System and Fitness Report Form:

a. Characteristics:

(1). Rating Scale:

Unsatisfactory: Less than satisfactory performance. Does not meet performance requirements for the duty or the position.

Satisfactory: Performance is characterized by effectiveness in meeting duty and job requirements.

Outstanding: Performance is so exceptional in relation to requirements of the work and in comparison to performance of others doing similar work as to warrant special recognition.

(2). Rating of Specific Duties: It is believed that only significant duties should be recorded and rated. We propose to combine the revised rating scale with a descriptive rating of each duty in order to provide a more useful evaluation.

S-E-C-R-E-T

S-E-C-R-E-T

- (3). Rating of Overall Performance: In making the overall performance rating, the rater will consider all factors affecting performance, including personal traits, skills, conduct, and any limitations which may apply. He will include a narrative evaluation to explain the basis for the rating and to give a general picture of where the individual stands in relation to others rated in the same group. In addition, the rater will comment on potential, suggest assignments and training needs, and outline personal traits of significance.
- (4). Evaluation by Reviewing Official: The Reviewing Officer will include a brief evaluation of performance, potential and future utilization of the individual rated. Whenever possible, he should indicate the relative ranking of the individual with others in the same grade and type of work. The reviewing officer will be responsible for assuring that the raters under his supervision adhere to realistic standards and undertake and follow through on necessary corrective actions. The reviewing official will be responsible also for resolving any critical differences of opinion between the individual and the rater, particularly if the ratings are adversely critical. If major differences cannot be adequately resolved by the component, they will be referred through command channels to the Career Service concerned for review.

b. Action Required on the Basis of Fitness Report Ratings:

Unsatisfactory Rating: A rating of unsatisfactory on any duty will require positive action to train or assist the individual to improve his performance of the work or will result in his assignment to other work. An overall rating of unsatisfactory will require corrective action without delay such as warning or probation, reassignment or special training. In extreme cases, separation may follow.

Outstanding Rating: A rating of outstanding on overall performance should be followed by special recognition as appropriate, including commendation, merit award, recommendation for promotion or quality step increase, or consideration for reassignment to more responsible work.

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(XERO)

(XERO)

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- c. Performance Consultation: At least once a year, the supervisor will have a performance consultation with the employee being rated. This consultation may take place at the time the Fitness Report is being prepared or at some previous time as circumstances warrant. When an employee is given an unsatisfactory rating, a report of the performance consultation will be made and forwarded as an "Eyes Only" memorandum through normal command channels to the Secretary of the Career Service Board concerned. Such a performance consultation report in no way relieves the supervisor from commenting on an employee's failings or weaknesses in the regular Fitness Report. The certification that a performance consultation has been held on a specific date will appear on the Fitness Report form and will be signed by the supervisor.
- 4. Summary of Advantages of Proposed Fitness Report System:
 - a. Each adjective rating will be more meaningful when combined with the narrative description or explanation. A descriptive rating of each element of performance (duties) as well as overall performance will be obtained. This emphasis on narrative evaluation will provide more useful information for personnel management purposes.
 - b. Two of the three ratings, Unsatisfactory and Outstanding, will require that special action follows. We will not have to struggle with the meaning of the marginal "adequate" rating in connection with initiating an adverse action.
 - c. The Report of Performance Consultation will be useful to supplement the Fitness Report when an unsatisfactory rating is involved to provide evaluatory material pertinent to the corrective action being recommended.
 - d. The tendency to rate all individuals "above average" will be minimized.

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- 4 -

(XERO)

(XERO)

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- e. The stronger role of the reviewing officer in achieving realistic and meaningful reports and in resolving differences between the individual and the rater will improve reporting and morale.

5. Revised Fitness Report Forms: Samples of the proposed revised Fitness Report Form are attached.

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(XERO)

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(XERO)

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(When Filled In)

FITNESS REPORT

EMPLOYEE SERIAL NUMBER

SECTION A

GENERAL

1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH	3. SEX	4. GRADE	5. SD
6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT		8. CURRENT STATION	
9. CHECK (X) TYPE OF APPOINTMENT			10. CHECK (X) TYPE OF REPORT			
<input type="checkbox"/> CAREER	<input type="checkbox"/> RESERVE	<input type="checkbox"/> TEMPORARY	<input type="checkbox"/> INITIAL		<input type="checkbox"/> REASSIGNMENT SUPERVISOR	
<input type="checkbox"/> CAREER-PROVISIONAL (See Instructions - Section C)			<input type="checkbox"/> ANNUAL		<input type="checkbox"/> REASSIGNMENT EMPLOYEE	
<input type="checkbox"/> SPECIAL (Specify):			<input type="checkbox"/> SPECIAL (Specify):			
11. DATE REPORT DUE IN O.P.			12. REPORTING PERIOD (From- to-)			

SECTION B

PERFORMANCE EVALUATION

1. EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES

LIST IN ORDER OF IMPORTANCE NOT MORE THAN THE FOUR MOST SIGNIFICANT DUTIES PERFORMED DURING THE RATING PERIOD. RATE PROFICIENCY OF PERFORMANCE OF EACH DUTY BY ASSIGNING THE SYMBOL APPROPRIATE FOR THE ADJECTIVE RATING AND DESCRIBING IN NARRATIVE FORM THE MANNER IN WHICH THE DUTY WAS PERFORMED.

U - UNSATISFACTORY

S - SATISFACTORY

O - OUTSTANDING

SPECIFIC DUTIES	NARRATIVE COMMENT	RATING
1.		
2.		
3.		
4.		

2. OVERALL PERFORMANCE IN CURRENT POSITION

RATING:

TAKE INTO ACCOUNT EVERYTHING ABOUT THE EMPLOYEE WHICH INFLUENCES HIS EFFECTIVENESS SUCH AS PERFORMANCE OF SPECIFIC DUTIES, PRODUCTIVITY, CONDUCT ON JOB, COOPERATIVENESS, PERTINENT PERSONAL TRAITS OR HABITS AND PARTICULAR LIMITATIONS OR TALENTS.

TITLE
(WHEN FILLED IN)

3.

NARRATIVE COMMENTS ON OVERALL PERFORMANCE

EXPLAIN BASIS FOR RATING, INCLUDING AN INDICATION, WHERE POSSIBLE, OF HOW THE EMPLOYEE'S RANKS IN RELATION TO OTHERS WITH THE SAME RATING. GIVE SUGGESTIONS FOR TRAINING, DEVELOPMENT AND UTILIZATION. OBSERVATIONS ON THE FOLLOWING CHARACTERISTICS OF THE EMPLOYEE ARE PARTICULARLY DESIRED: MENTAL CAPACITY, ENERGY, SKILL, PERSONALITY AND DESIRE TO DO. COMMENT ON SPECIAL ABILITIES, STYLE AND COST CONSCIOUSNESS, AS APPLICABLE.

SECTION C

CERTIFICATION AND COMMENTS

1. BY EMPLOYEE

I CERTIFY THAT I HAVE SEEN SECTIONS A, B, AND C OF THIS REPORT

DATE SIGNATURE OF EMPLOYEE

2. BY SUPERVISOR

MONTHS UNDER MY SUPERVISION	IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION	DATE PERFORMANCE CONSULTATION HELD

DATE	OFFICIAL TITLE OF SUPERVISOR	TYPED OR PRINTED NAME AND SIGNATURE

3. BY REVIEWING OFFICIAL

DATE	OFFICIAL TITLE OF REVIEWING OFFICIAL	TYPED OR PRINTED NAME AND SIGNATURE

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XERO

XERO

B

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Comments of the Deputy Directors and the Inspector General

Recommendation: That a three-point scale (Outstanding, Satisfactory, and Unsatisfactory) instead of the present five-point scale (Outstanding, Superior, Proficient, Adequate, Weak.)

Comments:

DD/I: "Rather than eliminate what could be useful distinctions, I would prefer to see greater adherence to the philosophy and directions on the present rating system as expressed in the Fitness Report Guide."

DD/S&T: "I see no significant result accruing from the reduction of the present five-point adjectival scale of the Fitness Report to three. Indeed, one might ask why not reduce it to two. I would anticipate that a three-point scale would simply result in the addition of pluses and minuses and, therefore, to a proliferation of categories beyond the five which now are used."

Inspector Gen: "I would be particularly sorry to see the three level rating scale introduced. The sorting out of the middle group, which is now accomplished by dividing them between the Strong and the Proficient, seems to me to be an entirely worthwhile exercise."

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Recommendation: That the reviewing officer include a brief evaluation of performance potential and future utilization of the individual indicating relative rankings whenever possible and resolving any critical differences of opinion between the individual and the rater, particularly if the ratings are adversely critical.

Comments:

DD/I: "DD/P's proposal to increase the role of the reviewing official has two parts. I concur with the part which deals with resolving critical differences of opinion between the individual and the rater with further recourse to the Career Service. I do not, however, concur with the proposal that the reviewer 'indicate the relative ranking of the individual with others in the same grade and type of work.' I believe that such ranking should be the task of the Career Service Board concerned rather than a single reviewing official with so much more limited basis for comparison."

Inspector Gen: "The reviewing officer should make a basic evaluation of the rating officer (if able by previous association). For example, 'I have known the rater for several years and, while an excellent rating officer, he tends to rate all subordinates a little high (low, etc.).'"

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Recommendation: That there be a performance consultation at least once a year as a separate transaction with certification that such a consultation has been held on a specific date to appear on a Fitness Report Form.

Comments:

DD/I: "The need to formalize a requirement that a supervisor consult with his subordinate about performance annually appears to be a sad commentary on the Agency's supervisory skills. Consultation should be a continuous process; no supervisor should save up his criticism and guidance over a year's period for presentation to his subordinate at the time of an annual Fitness Report or mandatory performance consultation. Although the topic of employee supervision is more fundamental than the Fitness Report, it appears that we have been attempting to overcome the shortcomings of supervision by improvements in the Fitness Report form itself."

Inspector Gen: "If, as a part of this system, employee consultation is performed, then it should be recorded on the Fitness Report form."

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Recommendation: To combine the revised rating scale with a descriptive rating of each duty in order to make the adjective rating more meaningful.

Comments:

DD/I: "I doubt that this proposal will be any more successful than our present system in providing more useful information for personnel management purposes."

DD/S&T: "I would hesitate to lengthen the time of preparation by combining the adjective rating of each duty with a narrative."

Inspector Gen: "There should be no more than two 'specific duty' boxes. The employee should be rated on his assigned duty and secondary 'principal' assignments. Beyond that, again, miscellaneous functions could be covered in the narrative."

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Recommendation: That follow-up action on unsatisfactory ratings include a warning or probation on an overall rating of unsatisfactory and conversely an outstanding rating be recognized in a specific way such as Merit Award or Quality Increase.

Comment:

DD/S&T: "We need a technique which combines to facilitate the expression of dissatisfaction with corrective action. An example might be the tying of required action to use of the 'adequate' category. To my thinking an employee performing at the 'adequate' level should be easily replaceable with resulting improvement. I would favor the idea that a rating of 'adequate' mean the start of a probationary year in which improvement is necessary if the individual is to continue in that job. Then if the 'adequate' rating is repeated at the end of the next reporting period...the individual would be shifted to another position...or if the individual did not wish to shift, it would be understood that he could remain but with a reduction in grade. I would not argue the semantics of using 'adequate' for this action category, but I do feel that some such category be used which is higher on the scale than 'weak' and yet indicates that the organization does not intend to continue the individual indefinitely on such a marginal basis at his present pay scale. The value of such a scheme lies in the automaticity of eventual action on the specific problem combined with the postponement of action pending mutual efforts of both the rated individual and his supervisor to effect an improvement."

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General Comments:

DD/I: "In sum, I do not believe that the DDP proposal for changing the Fitness Report is likely to provide significantly better management information than the present system. The problem, however, is much more fundamental than one of Fitness Reports; it is the problem of having supervisors fulfilling their responsibilities on a continuing basis. Trying to force a solution to this problem through changes in the Fitness Report form is attacking the symptom rather than the basic cause."

DD/S&T: "We have spent much time in recent months discussing many aspects of Agency personnel management. Judging by these discussions a key problem is how to keep raising the caliber of the Agency's personnel assets. Raising the caliber means weeding out those individuals who are not performing at a proficient level or placing them in positions where they will perform proficiently. I do not think that the format of the fitness report is the correct focal point for an attack against this problem. Indeed, I find no fault with the format itself...I find that shortcomings in the fitness report system stem from the process of rating rather than the format of the report."

Inspector Gen: "For my part I am against change simply because I believe it is easier to read a file in which fitness reports over the years follow the same format. I recognize the points made by the DDP as having considerable validity; however, I feel that we should not change until a stronger case is made."

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SECRETThe DD/I Counter Proposal

"It seems to me that the primary purpose of providing management information often can be in conflict with the objective of informing the individual. Frequently, this conflict is resolved by the supervisor writing a bland, uncritical Fitness Report. Most of us who review personnel folders have learned to recognize this and form judgments about performance not so much from what is stated explicitly but more from what is implied by contrived language or from what is omitted from the Report. These considerations lead me to the conclusion that the basic problem with the current Fitness Report System will not be remedied by the DD/P proposal. What is needed is some means of providing management with the 'realistic,' 'meaningful,' 'thoughtful, unbiased assessment' called for in the Fitness Report Guide. I do not believe we can rely on supervisors to provide such an evaluation if it must be shown to the employee. This leads to the suggestion that we should have two separate but consistent reports on each individual. The report shown to the employee would emphasize aspects directly related to performance in his current position; the other for management would cover the broader range of topics listed in the Guide--'his strengths and weaknesses, his training and development needs, his imagination and creative abilities, his supervisory skills, his writing and language facilities, his intellectual and social talents, and...other qualities, traits, and personal circumstances we need for proper management of his career.' As a result of this review, I recommend that we consider the following course of action:

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a. The Office of Personnel draft a two-part 'Fitness' Report and associated guidance for our consideration.

b. Either the Inspector General or the Offices of Personnel and Training study the problem of first-and second-line supervision, report to us on the major deficiencies in the supervisor-subordinate relationship, and recommend actions and training necessary to remedy these deficiencies.

c. In the interim, the present Fitness Report System not be changed in any fundamental way except strengthen the role of the reviewing official. Executive action should be taken at all levels to foster greater adherence to the philosophy and directions expressed in the Fitness Report Guide

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(XERO)

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PROFESSIONAL MANPOWER COMMITTEE

RATINGS OF OVER-ALL PERFORMANCE OF JUNIOR PROFESSIONAL OFFICERSWHO ENTERED ON DUTY AT GRADES GS-07 THROUGH 12DURING FISCAL YEARS 1963-1967

(Based on Evaluations Made by Immediate Supervisors)

25X1

	<u>DDI</u>	<u>DDP</u>	<u>DDS</u>	<u>DDS&T</u>
Number of Junior Officers Rated				
A. OUTSTANDING	3.1%	.015%	5.8%	4.4%
B. Between OUTSTANDING and STRONG	15.4%	10.3%	13.7%	17.2%
C. STRONG	34.8%	33.1%	42.3%	35.5%
D. Between STRONG and PROFICIENT	26.2%	29.3%	22.7%	27.6%
E. PROFICIENT	16.6%	20.6%	14.4%	14.3%
F. ADEQUATE	3.7%	5.0%	0.7%	1.0%
G. WEAK	<u>0.2%</u>	<u>0.022%</u>	<u>0.3%</u>	<u>0.0%</u>
	100.0%	98.3%*	99.9%*	100.0%

* Shortfall due to Rounding of Figures.

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Rating Distribution by Career Service

25X1

	<u>Outstanding</u>	<u>Strong</u>	<u>Proficient</u>	<u>Adequate</u>	<u>Weak</u>
DCT Group ed	23.4%	48.2%	24.3%	3.6%	.5%
up ated	7.2%	66.6%	24.7%	1.4%	0.1%
up ated	7.0%	63.5%	27.8%	1.6%	0.1%
up ated	6.7%	64.0%	27.8%	1.4%	0.1%
roup ed	9.3%	60.4%	28.7%	1.6%	0.0%

OP/PRS 4/68

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(When Filled In)

FITNESS REPORT					EMPLOYEE SERIAL NUMBER	
SECTION A GENERAL						
1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH	3. SEX	4. GRADE	5. SD
6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT		8. CURRENT STATION	
9. CHECK (X) TYPE OF APPOINTMENT			10. CHECK (X) TYPE OF REPORT			
<input type="checkbox"/> CAREER	<input type="checkbox"/> RESERVE	<input type="checkbox"/> TEMPORARY	<input type="checkbox"/> INITIAL		<input type="checkbox"/> REASSIGNMENT SUPERVISOR	
<input type="checkbox"/> CAREER-PROVISIONAL (See Instructions - Section C)			<input type="checkbox"/> ANNUAL		<input type="checkbox"/> REASSIGNMENT EMPLOYEE	
<input type="checkbox"/> SPECIAL (Specify):			<input type="checkbox"/> SPECIAL (Specify):			
11. DATE REPORT DUE IN O.P.			12. REPORTING PERIOD (From- to-)			
SECTION B PERFORMANCE EVALUATION						
<p>W - Weak Performance ranges from wholly inadequate to slightly less than satisfactory. A rating in this category requires positive remedial action. The nature of the action could range from counseling, to further training, to placing on probation, to reassignment or to separation. Describe action taken or proposed in Section C.</p> <p>A - Adequate Performance meets all requirements. It is entirely satisfactory and is characterized neither by deficiency nor excellence.</p> <p>P - Proficient Performance is more than satisfactory. Desired results are being produced in a proficient manner.</p> <p>S - Strong Performance is characterized by exceptional proficiency.</p> <p>O - Outstanding Performance is so exceptional in relation to requirements of the work and in comparison to the performance of others doing similar work as to warrant special recognition.</p>						
SPECIFIC DUTIES						
List up to six of the most important specific duties performed during the rating period. Insert rating letter which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised).						RATING LETTER
SPECIFIC DUTY NO. 1						RATING LETTER
SPECIFIC DUTY NO. 2						RATING LETTER
SPECIFIC DUTY NO. 3						RATING LETTER
SPECIFIC DUTY NO. 4						RATING LETTER
SPECIFIC DUTY NO. 5						RATING LETTER
SPECIFIC DUTY NO. 6						RATING LETTER
OVERALL PERFORMANCE IN CURRENT POSITION						
Take into account everything about the employee which influences his effectiveness in his current position such as performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, and particular limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the letter in the rating box corresponding to the statement which most accurately reflects his level of performance.						RATING LETTER

SECRET

SECTION C

NARRATIVE COMMENTS

Indicate significant strengths or weaknesses demonstrated in current position keeping in proper perspective their relationship to overall performance. State suggestions made for improvement of work performance. Give recommendations for training. Comment on foreign language competence, if required for current position. Amplify or explain ratings given in Section B to provide basis for determining future personnel action. Manner of performance of managerial or supervisory duties and cost consciousness in the use of personnel, space, equipment and funds, must be commented on, if applicable. If extra space is needed to complete Section C, attach a separate sheet of paper.

SECTION D

CERTIFICATION AND COMMENTS

BY EMPLOYEE

I CERTIFY THAT I HAVE SEEN SECTIONS A, B, AND C OF THIS REPORT

DATE

SIGNATURE OF EMPLOYEE

BY SUPERVISOR

MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION

IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION

DATE

OFFICIAL TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

BY REVIEWING OFFICIAL

COMMENTS OF REVIEWING OFFICIAL

DATE

OFFICIAL TITLE OF REVIEWING OFFICIAL

TYPED OR PRINTED NAME AND SIGNATURE

SECRET

SECTION C

NARRATIVE COMMENTS

Indicate significant strengths or weaknesses demonstrated in current position keeping in proper perspective their relationship to overall performance. State suggestions made for improvement of work performance. Give recommendations for training. Comment on foreign language competence, if required for current position. Amplify or explain ratings given in Section B to provide basis for determining future personnel action. Manner of performance of managerial or supervisory duties and cost consciousness in the use of personnel, space, equipment and funds, must be commented on, if applicable. If extra space is needed to complete Section C, attach a separate sheet of paper.

SECTION D

CERTIFICATION AND COMMENTS

1. BY EMPLOYEE		
<i>I CERTIFY THAT I HAVE SEEN SECTIONS A, B, AND C OF THIS REPORT</i>		
DATE	SIGNATURE OF EMPLOYEE	
2. BY SUPERVISOR		
MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION	IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION	
DATE	OFFICIAL TITLE OF SUPERVISOR	TYPED OR PRINTED NAME AND SIGNATURE
3. BY REVIEWING OFFICIAL		
COMMENTS OF REVIEWING OFFICIAL		
DATE	OFFICIAL TITLE OF REVIEWING OFFICIAL	TYPED OR PRINTED NAME AND SIGNATURE

SECRET

DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

GENERAL

1. POLICY

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals. HR 20-20 (FR 20-9) outlines policies concerning the requirements for submitting initial, annual, reassignment and special reports, showing the report to the employee and appeals procedure. The Fitness Report, Form 45, is used to record evaluations. However, an evaluation in memorandum form may be substituted for Form 45 for employees in Grades GS-14 and above.

2. SUBMISSION

The Fitness Report will be submitted in duplicate to the Head of the Career Service concerned. The Head of the Career Service will retain one copy and will forward the original to the Office of Personnel.

3. INITIAL REPORT

A Fitness Report will be prepared for each employee as of nine months after his entrance on duty with the Organization. An initial report need not be made when a Fitness Report has already been made for some other purpose within 90 days prior to the due date of the initial report. The initial report is of particular importance in providing a record of the supervisor's evaluation of the employee before the employee has completed his twelve-month trial period. An initial report may be deferred for a period not to exceed 30 days beyond the due date to provide the supervisor with additional time to evaluate an employee who has been under his jurisdiction for less than 90 days.

4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

GRADES	FOR PERIOD ENDING	DUE IN OFFICE OF PERSONNEL	
		FROM HEADQUARTERS	FROM FIELD
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

5. REASSIGNMENT REPORT

Supervisors will prepare a Fitness Report when the supervisor is changed by the reassignment of the employee or the super-

visor. When the supervisor is reassigned and has numerous reassignment reports to prepare he needs to complete only Section B of the report.

DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

SECTION A — GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer. Special instructions for completing or omitting items of this part of the report should be carefully observed on Field Transmittal — Fitness Report, Form 45a.

SECTION B — EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES AND OF OVERALL PERFORMANCE

Rating Scale

The rating scale as set forth in this section in Form 45, Fitness Report, is to be used to reflect evaluation of Specific Duties and of Overall Performance. In making your selection of the adjective evaluation for Section B and in completion of the narrative in Section C the following factors should be considered as appropriate:

Cost Consciousness	Mobility
Security Consciousness	Initiative
Ability to Think Clearly	Versatility
Supervisory Effectiveness	Productivity
Acceptance of Responsibility	Decisiveness
Foreign Language Competence	Resourcefulness
Effectiveness of Oral Expression	Cooperativeness
Effectiveness of Written Expression	Records Discipline

Rating of Performance of Specific Duties

In this section the supervisor will list in order of importance the most significant duties the employee has performed during the rating period. Each duty shall be described in sufficient detail to provide information which may be useful later in considering individuals for other assignments. Your evaluation should be recorded by entering the appropriate letter in the box provided for your evaluation of each duty.

Rating of Overall Performance in Current Position

In making this rating the supervisor should take into account the employee's conduct on the job as well as his performance on all specific duties. Each supervisor will weigh these factors in his own mind so as to arrive at a rating which will reflect an employee's overall value on the job.

SECTION C — NARRATIVE COMMENTS

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. This may include comments regarding a specific duty by direct reference to that duty. Any relatively high or low

ratings in Section B should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstances which affect the productivity and effectiveness of the employee. Comment should be made on the relative performance of the person being rated with other people known to the rater doing comparable work. In commenting on the manner of performance of managerial or supervisory responsibilities, abilities and skills in such as the following should be considered:

Delegation of responsibility

Establishment and maintenance of clear lines of authority
Use of personnel, space, equipment, funds, etc.
Formulation and coordination of programs
Developing teamwork

In completing the ratings on Career-Provisional employees comment should be made on the intent, capability and desire of the individual to fulfill the service obligations of the Career Service to which he is assigned.

SECTION D — CERTIFICATION AND COMMENTS

The person being rated may attach to his fitness report a memorandum concerning any part of the report. The memorandum will be attached to the original for inclusion in the Official Personnel Folder.

Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. Through the counseling and supervision of rating officials, reviewing officials can play a major role in improving the operation of the Fitness Report program.

In addition, reviewing officials should as a matter of practice submit a brief narrative evaluation of the performance and potential of the individual being rated, noting the degree to which he is personally familiar with the individual and his work. Even though the reviewing official may not be able to evaluate the individual from firsthand experience with him, it is likely that the reviewing official may be able to contribute useful information concerning future utilization or training of the individual based on the review of his record of performance and assignments.

If the reviewing official is in substantial disagreement with the rating official he should state whether or not he has discussed the evaluation with the rating official and the employee.

When a person departs an overseas station without having been shown his Fitness Report, it is incumbent upon the Career Service to have the report shown to the individual.